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TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT
(Under 37 CFR 1.97(b) or 1.97(c))

Docket No.
14186

In Re Application Of: Thomas Dietz, et al.

Serial No.

09/777,544

Filing Date

February 6, 2001

Examiner

Unassigned

Group Art Unit

Unassigned

Title:

COSMETIC AND PHARMACEUTICAL OIL-IN-WATER EMULSIONS

Address to:

Assistant Commissioner for Patents
Washington, D.C. 20231

37 CFR 1.97(b)

1. ☒ The Information Disclosure Statement submitted herewith is being filed within three months of the filing of a national application; within three months of the date of entry of the national stage as set forth in 37 CFR 1.491 in an international application; or before the mailing date of a first Office Action on the merits, whichever event occurs last.

37 CFR 1.97(c)

2. ☐ The Information Disclosure Statement submitted herewith is being filed after three months of the filing of a national application, or the date of entry of the national stage as set forth in 37 CFR 1.491 in an international application; or after the mailing date of a first Office Action on the merits, whichever occurred last but before the mailing date of either:

1. a Final Action under 37 CFR 1.113, or
2. a Notice of Allowance under 37 CFR 1.311,

whichever occurs first.

Also submitted herewith is:

- ☐ a certification as specified in 37 CFR 1.97(e);

OR

- ☐ the fee set forth in 37 CFR 1.17(p) for submission of an Information Disclosure Statement under 37 CFR 1.97(c).

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Payment of Fee

(Only complete if Applicant elects to pay the fee set forth in 37 CFR 1.17(p))

- ☐ A check in the amount of _____ is attached.
- ☒ The Assistant Commissioner is hereby authorized to charge and credit Deposit Account No. 19-1013/SSMP as described below. A duplicate copy of this sheet is enclosed.
- ☐ Charge the amount of _____
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Signature of Person Mailing Correspondence _____

Mishelle Mustafa

Typed or Printed Name of Person Mailing Correspondence _____

***This certificate may only be used if paying by deposit account.**

Leslie S. Szivos

Signature

Dated: **May 7, 2001**

Leslie S. Szivos
Registration No. 39,394

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PATENTS

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant(s): Thomas Dietz, et al.

Examiner: Unassigned

Serial No: 09/777,544

Art Unit: Unassigned

Filed: February 6, 2001

Docket: 14186

For: COSMETIC AND PHARMACEUTICAL
OIL-IN-WATER EMULSIONS

Dated: May 7, 2001

Assistant Commissioner for Patents
United States Patent and Trademark Office
Washington, D.C. 20231

INFORMATION DISCLOSURE STATEMENT

Sir:

In accordance with the provisions of 37 C.F.R. §§1.97 and 1.98, it is respectfully requested that the attached disclosures, which are also listed on the attached Form PTO-1449, be made of record in the above-identified case.

1. European Patent Application No. 0 154 837 A2, issued September 18, 1985;
2. European Patent Application No. 0 279 319 A2, issued August 24, 1988;

CERTIFICATE OF MAILING UNDER 37 C.F.R. §1.8(a)

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231, on May 7, 2001.

Dated: May 7, 2001


Michelle Mustafa

3. German Patent Application No. DE 37 40 186 A1, issued January 5, 1989;
4. German Patent Application No. DE 39 38 140 A1, issued August 8, 1991;
5. German Patent Application No. DE 40 09 347 A1, issued, September 26, 1991;
6. European Patent Application No. 0 516 547 A1, issued December 2, 1992;
7. German Patent Application No. DE 42 04 321 A1, issued August 19, 1993;
8. German Patent Application No. DE 42 41 799 C1, issued January 5, 1994;
9. German Patent Application No. DE 42 29 707 A1, issued March 10, 1994;
10. German Patent Application No. DE 42 29 737 A1, issued March 10, 1994;
11. German Patent Application No. DE 42 37 081 A1, issued May 5, 1994;
12. German Patent Application No. DE 42 37 081 C2, issued May 5, 1994;
13. German Patent Application No. DE 43 09 372 A1, issued September 29, 1994;
14. European Patent Application No. 0 627 259 A2, issued December 7, 1994;
15. German Patent Application No. DE 43 24 219 A1, issued January 26, 1995;
16. German Patent Application No. DE 198 55 934 A1, issued June 8, 2000;
17. German Publication 1 165 574, published October 1, 1964;
18. O'Lenick, Jr., et al., "Three-Dimensional HLB ", Cosmetics and Toiletries Magazine, Vol. 111, October 1996, pp. 37-44;
19. "List of Colours According to Colour Index Number", DFG-Namen, pp. 80-107

20. William C. Griffin, "Classification of Surface-Active Agents by "HLB"",
Journal of the Society of Cosmetic Chemists, pp. 311-326.

Applicants are submitting copies of the above-cited references. Applicants submit that the relevance of each of the cited references can be found in the specification of the instant application.

Inasmuch as this Information Disclosure Statement is being submitted in accordance with the schedule set forth in 37 C.F.R. § 1.97 (b), no petition, certification or fee is required.

Respectfully submitted,

A handwritten signature in black ink, appearing to read "Leslie S. Szivos", followed by a long horizontal line.

Leslie S. Szivos
Registration No. 39,394

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